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Attorney Docket No.	ARC 3043 R1
First Inventor or Application Identifier	Joseph C. Trautman
Title	See 1 in Addendum
Express Mail Label No.	EI 523934999US

(Only for new nonprovisional applications under 37 C.F.R. § 1.53(b))

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO:

Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

1. ☒ \* Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2. ☒ Specification [Total Pages 29]  
(preferred arrangement set forth below)
- Descriptive title of the Invention
  - Cross References to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to Microfiche Appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
3. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 7]
4. Oath or Declaration [Total Pages 4]
- a. ☒ Newly executed (original or copy)
  - b. ☐ Copy from a prior application (37 C.F.R. § 1.63(d)(2) and 1.33(b))
    - i. ☐ DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s) named in the prior application see 37 C.F.R. §§ 1.63(d)(2) and 1.33(b)

5. ☐ Microfiche Computer Program (*Appendix*)
6. Nucleotide and/or Amino Acid Sequence Submission  
(*if applicable, all necessary*)
- a. ☐ Computer Readable Copy
- b. ☐ Paper Copy (identical to computer copy)
- c. ☐ Statement verifying identity of above copies

7. ☐ Assignment Papers (cover sheet & document(s))

8. ☒ 37 C.F.R. §3.73(b) Statement ☒ Power of Attorney  
(when there is an assignee)

9. ☐ English Translation Document (if applicable)

10. ☒ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations

11. ☐ Preliminary Amendment

12. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)

13. ☐ \* Small Entity Statement(s) ☐ Statement filed in prior application  
(PTO/SB/09-12) Status still proper and desired

14. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)

15. ☒ Other: Express Mail Certificate

\* NOTE FOR ITEMS 1 & 13 IN ORDER TO BE ENTITLED TO PAY SMALL ENTITY FEES, A SMALL ENTITY STATEMENT IS REQUIRED (37 C.F.R. § 1.27), EXCEPT IF ONE FILED IN A PRIOR APPLICATION IS RELIED UPON (37 C.F.R. § 1.28).

**16. If a CONTINUING APPLICATION,** check appropriate box, and supply the requisite information below and in a preliminary amendment:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No: \_\_\_\_\_ / \_\_\_\_\_  
 Prior application information: Examiner Group / Art Unit:

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 4b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

☒ Customer Number or Bar Code Label

or ☐ Correspondence address below

(Insert Customer No. or Attach bar code label here)

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State

Zip Code

Country

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Fax:

Name (Print/Type)

Owen J. Bates

Registration No. (Attorney/Agent)

40.346

*Signature*

Oweny Bates

Date \_\_\_\_\_

12 Oct 2001

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

	(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	(11)	(12)	(13)	(14)	(15)	(16)	(17)	(18)	(19)	(20)	(21)	(22)	(23)	(24)	(25)	(26)	(27)	(28)	(29)	(30)	(31)	(32)	(33)	(34)	(35)	(36)	(37)	(38)	(39)	(40)	(41)	(42)	(43)	(44)	(45)	(46)	(47)	(48)	(49)	(50)	(51)	(52)	(53)	(54)	(55)	(56)	(57)	(58)	(59)	(60)	(61)	(62)	(63)	(64)	(65)	(66)	(67)	(68)	(69)	(70)	(71)	(72)	(73)	(74)	(75)	(76)	(77)	(78)	(79)	(80)	(81)	(82)	(83)	(84)	(85)	(86)	(87)	(88)	(89)	(90)	(91)	(92)	(93)	(94)	(95)	(96)	(97)	(98)	(99)	(100)
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Variable	Mean		SD		t		p	
	Control	Case	Control	Case	Control	Case	Control	Case
Age	34.5	34.5	10.5	10.5	0.0	0.0	0.999	0.999
Gender	1.0	1.0	0.0	0.0	0.0	0.0	0.999	0.999
Education	12.5	12.5	1.0	1.0	0.0	0.0	0.999	0.999
Marital status	1.0	1.0	0.0	0.0	0.0	0.0	0.999	0.999
Occupation	1.0	1.0	0.0	0.0	0.0	0.0	0.999	0.999
Income	1.0	1.0	0.0	0.0	0.0	0.0	0.999	0.999
Religion	1.0	1.0	0.0	0.0	0.0	0.0	0.999	0.999
Health status	1.0	1.0	0.0	0.0	0.0	0.0	0.999	0.999
Family size	1.0	1.0	0.0	0.0	0.0	0.0	0.999	0.999
Parental education	1.0	1.0	0.0	0.0	0.0	0.0	0.999	0.999
Parental occupation	1.0	1.0	0.0	0.0	0.0	0.0	0.999	0.999
Parental income	1.0	1.0	0.0	0.0	0.0	0.0	0.999	0.999
Parental religion	1.0	1.0	0.0	0.0	0.0	0.0	0.999	0.999
Parental health status	1.0	1.0	0.0	0.0	0.0	0.0	0.999	0.999
Parental family size	1.0	1.0	0.0	0.0	0.0	0.0	0.999	0.999
Parental parental education	1.0	1.0	0.0	0.0	0.0	0.0	0.999	0.999
Parental parental occupation	1.0	1.0	0.0	0.0	0.0	0.0	0.999	0.999
Parental parental income	1.0	1.0	0.0	0.0	0.0	0.0	0.999	0.999
Parental parental religion	1.0	1.0	0.0	0.0	0.0	0.0	0.999	0.999
Parental parental health status	1.0	1.0	0.0	0.0	0.0	0.0	0.999	0.999
Parental parental family size	1.0	1.0	0.0	0.0	0.0	0.0	0.999	0.999
Parental parental parental education	1.0	1.0	0.0	0.0	0.0	0.0	0.999	0.999
Parental parental parental occupation	1.0	1.0	0.0	0.0	0.0	0.0	0.999	0.999
Parental parental parental income	1.0	1.0	0.0	0.0	0.0	0.0	0.999	0.999
Parental parental parental religion	1.0	1.0	0.0	0.0	0.0	0.0	0.999	0.999
Parental parental parental health status	1.0	1.0	0.0	0.0	0.0	0.0	0.999	0.999
Parental parental parental family size	1.0	1.0	0.0	0.0	0.0	0.0	0.999	0.999
Parental parental parental parental education	1.0	1.0	0.0	0.0	0.0	0.0	0.999	0.999
Parental parental parental parental occupation	1.0	1.0	0.0	0.0	0.0	0.0	0.999	0.999
Parental parental parental parental income	1.0	1.0	0.0	0.0	0.0	0.0	0.999	0.999
Parental parental parental parental religion	1.0	1.0	0.0	0.0	0.0	0.0	0.999	0.999
Parental parental parental parental health status	1.0	1.0	0.0	0.0	0.0	0.0	0.999	0.999
Parental parental parental parental family size	1.0	1.0	0.0	0.0	0.0	0.0	0.999	0.999
Parental parental parental parental parental education	1.0	1.0	0.0	0.0	0.0	0.0	0.999	0.999
Parental parental parental parental parental occupation	1.0	1.0	0.0	0.0	0.0	0.0	0.999	0.999
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Parental parental parental parental parental health status	1.0	1.0	0.0	0.0	0.0	0.0	0.999	0.999
Parental parental parental parental parental family size	1.0	1.0	0.0	0.0	0.0	0.0	0.999	0.999
Parental parental parental parental parental parental education	1.0	1.0	0.0	0.0	0.0	0.0	0.999	0.999
Parental parental parental parental parental parental occupation	1.0	1.0	0.0	0.0	0.0	0.0	0.999	0.999
Parental parental parental parental parental parental income	1.0	1.0	0.0	0.0	0.0	0.0	0.999	0.999
Parental parental parental parental parental parental religion								

<h1 style="margin: 0;">FEE TRANSMITTAL</h1> <h2 style="margin: 0;">for FY 2000</h2> <p style="font-size: small; margin: 0;">Patent fees are subject to annual revision Small Entity payments <u>must</u> be supported by a small entity statement, otherwise large entity fees must be paid. See Forms PTO/SB/09-12. See 37 C.F.R. §§ 1.27 and 1.28.</p>		<p><b>Complete if Known</b></p> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%;">Application Number</td> <td style="width: 50%;"></td> </tr> <tr> <td>Filing Date</td> <td>October 12, 2001</td> </tr> <tr> <td>First Named Inventor</td> <td>Joseph C. Trautman</td> </tr> <tr> <td>Examiner Name</td> <td></td> </tr> <tr> <td>Group / Art Unit</td> <td></td> </tr> <tr> <td>Attorney Docket No.</td> <td>ARC 3043 R1</td> </tr> </table>		Application Number		Filing Date	October 12, 2001	First Named Inventor	Joseph C. Trautman	Examiner Name		Group / Art Unit		Attorney Docket No.	ARC 3043 R1
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Group / Art Unit															
Attorney Docket No.	ARC 3043 R1														
TOTAL AMOUNT OF PAYMENT	(\$), 4,106.00														

<p><b>METHOD OF PAYMENT (check one)</b></p> <p>1. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:</p> <p>Deposit Account Number: 01-1173</p> <p>Deposit Account Name: ALZA Corporation</p> <p><input checked="" type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR §§ 1.16 and 1.17</p> <p>2. <input type="checkbox"/> Payment Enclosed:  <input type="checkbox"/> Check    <input type="checkbox"/> Money Order    <input type="checkbox"/> Other</p> <p style="text-align: center;"><b>FEE CALCULATION</b></p> <p><b>1. BASIC FILING FEE</b></p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th>Large Entity Code</th> <th>Small Entity Code</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr> <td>101 690</td> <td>201 345</td> <td>Utility filing fee</td> <td>740.00</td> </tr> <tr> <td>106 310</td> <td>206 155</td> <td>Design filing fee</td> <td></td> </tr> <tr> <td>107 480</td> <td>207 240</td> <td>Plant filing fee</td> <td></td> </tr> <tr> <td>108 690</td> <td>208 345</td> <td>Reissue filing fee</td> <td></td> </tr> <tr> <td>114 150</td> <td>214 75</td> <td>Provisional filing fee</td> <td></td> </tr> <tr> <td colspan="3" style="text-align: right;"><b>SUBTOTAL (1)</b></td> <td><b>(\$), 740.00</b></td> </tr> </tbody> </table> <p><b>2. EXTRA CLAIM FEES</b></p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th>Total Claims</th> <th>Extra Claims</th> <th>Fee from below</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr> <td>39</td> <td>-20** = 19</td> <td>18</td> <td>342</td> </tr> <tr> <td>39</td> <td>-3** = 36</td> <td>84</td> <td>3024</td> </tr> <tr> <td>Multiple Dependent</td> <td></td> <td></td> <td>0</td> </tr> </tbody> </table> <p>**or number previously paid, if greater; For Reissues, see below</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th>Large Entity Code</th> <th>Small Entity Code</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr> <td>103 18</td> <td>203 9</td> <td>Claims in excess of 20</td> <td></td> </tr> <tr> <td>102 78</td> <td>202 39</td> <td>Independent claims in excess of 3</td> <td></td> </tr> <tr> <td>104 260</td> <td>204 130</td> <td>Multiple dependent claim, if not paid</td> <td></td> </tr> <tr> <td>109 78</td> <td>209 39</td> <td>** Reissue independent claims over original patent</td> <td></td> </tr> <tr> <td>110 18</td> <td>210 9</td> <td>** Reissue claims in excess of 20 and over original patent</td> <td></td> </tr> <tr> <td colspan="3" style="text-align: right;"><b>SUBTOTAL (2)</b></td> <td><b>(\$), 3,366.00</b></td> </tr> </tbody> </table>	Large Entity Code	Small Entity Code	Fee Description	Fee Paid	101 690	201 345	Utility filing fee	740.00	106 310	206 155	Design filing fee		107 480	207 240	Plant filing fee		108 690	208 345	Reissue filing fee		114 150	214 75	Provisional filing fee		<b>SUBTOTAL (1)</b>			<b>(\$), 740.00</b>	Total Claims	Extra Claims	Fee from below	Fee Paid	39	-20** = 19	18	342	39	-3** = 36	84	3024	Multiple Dependent			0	Large Entity Code	Small Entity Code	Fee Description	Fee Paid	103 18	203 9	Claims in excess of 20		102 78	202 39	Independent claims in excess of 3		104 260	204 130	Multiple dependent claim, if not paid		109 78	209 39	** Reissue independent claims over original patent		110 18	210 9	** Reissue claims in excess of 20 and over original patent		<b>SUBTOTAL (2)</b>			<b>(\$), 3,366.00</b>	<p><b>3. 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unavoidable</td> <td>0.00</td> </tr> <tr> <td>141 1,210</td> <td>241 605</td> <td>Petition to revive - unintentional</td> <td>0.00</td> </tr> <tr> <td>142 1,210</td> <td>242 605</td> <td>Utility issue fee (or reissue)</td> <td>0.00</td> </tr> <tr> <td>143 430</td> <td>243 215</td> <td>Design issue fee</td> <td>0.00</td> </tr> <tr> <td>144 580</td> <td>244 290</td> <td>Plant issue fee</td> <td>0.00</td> </tr> <tr> <td>122 130</td> <td>122 130</td> <td>Petitions to the Commissioner</td> <td>0.00</td> </tr> <tr> <td>123 50</td> <td>123 50</td> <td>Petitions related to provisional applications</td> <td>0.00</td> </tr> <tr> <td>126 240</td> <td>126 240</td> <td>Submission of Information Disclosure Stmt</td> <td>0.00</td> </tr> <tr> <td>581 40</td> <td>581 40</td> <td>Recording each patent assignment per property (times number of properties)</td> <td>0.00</td> </tr> <tr> <td>146 690</td> <td>246 345</td> <td>Filing a submission after final rejection (37 CFR § 1.129(a))</td> <td>0.00</td> </tr> <tr> <td>149 690</td> <td>249 345</td> <td>For each additional invention to be examined (37 CFR § 1.129(b))</td> <td>0.00</td> </tr> <tr> <td colspan="3">Other fee (specify)</td> <td>0.00</td> </tr> <tr> <td colspan="3">Other fee (specify)</td> <td>0.00</td> </tr> <tr> <td colspan="3" style="text-align: right;"><b>SUBTOTAL (3)</b></td> <td><b>(\$), 0.00</b></td> </tr> </tbody> </table> <p>* Reduced by Basic Filing Fee Paid</p>	Large Entity Code	Small Entity Code	Fee Description	Fee Paid	105 130	205 65	Surcharge - late filing fee or oath	0.00	127 50	227 25	Surcharge - late provisional filing fee or cover sheet	0.00	139 130	139 130	Non-English specification	0.00	147 2,520	147 2,520	For filing a request for reexamination	0.00	112 920*	112 920*	Requesting publication of SIR prior to Examiner action	0.00	113 1,840*	113 1,840*	Requesting publication of SIR after Examiner action	0.00	115 110	215 55	Extension for reply within first month	0.00	116 380	216 190	Extension for reply within second month	0.00	117 870	217 435	Extension for reply within third month	0.00	118 1,360	218 680	Extension for reply within fourth month	0.00	128 1,850	228 925	Extension for reply within fifth month	0.00	119 300	219 150	Notice of Appeal	0.00	120 300	220 150	Filing a brief in support of an appeal	0.00	121 260	221 130	Request for oral hearing	0.00	138 1,510	138 1,510	Petition to institute a public use proceeding	0.00	140 110	240 55	Petition to revive - unavoidable	0.00	141 1,210	241 605	Petition to revive - unintentional	0.00	142 1,210	242 605	Utility issue fee (or reissue)	0.00	143 430	243 215	Design issue fee	0.00	144 580	244 290	Plant issue fee	0.00	122 130	122 130	Petitions to the Commissioner	0.00	123 50	123 50	Petitions related to provisional applications	0.00	126 240	126 240	Submission of Information Disclosure Stmt	0.00	581 40	581 40	Recording each patent assignment per property (times number of properties)	0.00	146 690	246 345	Filing a submission after final rejection (37 CFR § 1.129(a))	0.00	149 690	249 345	For each additional invention to be examined (37 CFR § 1.129(b))	0.00	Other fee (specify)			0.00	Other fee (specify)			0.00	<b>SUBTOTAL (3)</b>			<b>(\$), 0.00</b>
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Large Entity Code	Small Entity Code	Fee Description	Fee Paid																																																																																																																																																																																														
105 130	205 65	Surcharge - late filing fee or oath	0.00																																																																																																																																																																																														
127 50	227 25	Surcharge - late provisional filing fee or cover sheet	0.00																																																																																																																																																																																														
139 130	139 130	Non-English specification	0.00																																																																																																																																																																																														
147 2,520	147 2,520	For filing a request for reexamination	0.00																																																																																																																																																																																														
112 920*	112 920*	Requesting publication of SIR prior to Examiner action	0.00																																																																																																																																																																																														
113 1,840*	113 1,840*	Requesting publication of SIR after Examiner action	0.00																																																																																																																																																																																														
115 110	215 55	Extension for reply within first month	0.00																																																																																																																																																																																														
116 380	216 190	Extension for reply within second month	0.00																																																																																																																																																																																														
117 870	217 435	Extension for reply within third month	0.00																																																																																																																																																																																														
118 1,360	218 680	Extension for reply within fourth month	0.00																																																																																																																																																																																														
128 1,850	228 925	Extension for reply within fifth month	0.00																																																																																																																																																																																														
119 300	219 150	Notice of Appeal	0.00																																																																																																																																																																																														
120 300	220 150	Filing a brief in support of an appeal	0.00																																																																																																																																																																																														
121 260	221 130	Request for oral hearing	0.00																																																																																																																																																																																														
138 1,510	138 1,510	Petition to institute a public use proceeding	0.00																																																																																																																																																																																														
140 110	240 55	Petition to revive - unavoidable	0.00																																																																																																																																																																																														
141 1,210	241 605	Petition to revive - unintentional	0.00																																																																																																																																																																																														
142 1,210	242 605	Utility issue fee (or reissue)	0.00																																																																																																																																																																																														
143 430	243 215	Design issue fee	0.00																																																																																																																																																																																														
144 580	244 290	Plant issue fee	0.00																																																																																																																																																																																														
122 130	122 130	Petitions to the Commissioner	0.00																																																																																																																																																																																														
123 50	123 50	Petitions related to provisional applications	0.00																																																																																																																																																																																														
126 240	126 240	Submission of Information Disclosure Stmt	0.00																																																																																																																																																																																														
581 40	581 40	Recording each patent assignment per property (times number of properties)	0.00																																																																																																																																																																																														
146 690	246 345	Filing a submission after final rejection (37 CFR § 1.129(a))	0.00																																																																																																																																																																																														
149 690	249 345	For each additional invention to be examined (37 CFR § 1.129(b))	0.00																																																																																																																																																																																														
Other fee (specify)			0.00																																																																																																																																																																																														
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<b>SUBTOTAL (3)</b>			<b>(\$), 0.00</b>																																																																																																																																																																																														

<b>SUBMITTED BY</b>		<b>Complete (if applicable)</b>	
Name (Print/Type)	Owen J. Bates	Registration No (Attorney/Agent)	40,346
Signature	<i>Owen J. Bates</i>	Telephone	(650)-564-7867
		Date	12 Oct 2001

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In re application of: TRAUTMAN, JOSEPH C. and KEENAN, RICHARD L.

**Assistant Commissioner for Patents**  
**Washington, D.C. 20231**

"Express Mail" label number EL523934999US  
Date of Deposit 10/12/2001

Utility Patent Application Transmittal  
Fee Transmittal  
Combined Declaration and Power of Attorney  
Specification, Claims, Drawings, Abstract  
Information Disclosure Statement, Transmittal, and Citations  
Statement Under 37 CFR 3.73(b)

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Printed name of person signing below

Signature of person mailing paper or fee